

## FOCI Requirement Matrix

Business Structure						
	Sole Proprietorship*	Privately Owned Corporation	Publicly Traded Corporation	Partnership 1. General 2. Limited	Limited Liability Company	College/University
Standard Information	- SF 328 w/ Instructions (Questionnaire). Affirmative answers are explained on a separate attachment. Form must be signed, dated and certified by an authorized representative of the company.	- SF 328 w/ Instructions (Questionnaire) Affirmative answers are explained on a separate attachment. Form must be signed, dated and certified by an authorized representative of the company.	- SF 328 w/ Instructions (Questionnaire) Affirmative answers are explained on a separate attachment. Form must be signed, dated and certified by an authorized representative of the company.	- SF 328 w/ Instructions (Questionnaire) Affirmative answers are explained on a separate attachment. Form must be signed, dated and certified by an authorized representative of the company.	- SF 328 w/ Instructions (Questionnaire) Affirmative answers are explained on a separate attachment. Form must be signed, dated and certified by an authorized representative of the company.	- SF 328 w/ Instructions (Questionnaire) Affirmative answers are explained on a separate attachment. Form must be signed, dated, and certified by an authorized representative of the company.
	- Summary FOCI Data Sheet.	- Summary FOCI Data Sheet.	- Summary FOCI Data Sheet.	- Summary FOCI Data Sheet.	- Summary FOCI Data Sheet.	- Summary FOCI Data Sheet.
	- Representative of Foreign Interest Statement ( <b>If applicable</b> ).	- Representative of Foreign Interest Statement ( <b>If applicable</b> ).	- Representative of Foreign Interest Statement ( <b>If applicable</b> ).	- Representative of Foreign Interest Statement ( <b>If applicable</b> ).	- Representative of Foreign Interest Statement ( <b>If applicable</b> ).	- Representative of Foreign Interest Statement( <b>If applicable</b> ).
	- List of Owners, Officers, Directors & Executives, ( <b>OODEP Form</b> ).	- List of Owners, Officers, Directors & Executives, ( <b>OODEP Form</b> ).	- List of Owners, Officers, Directors & Executives, ( <b>OODEP Form</b> ).	- List of Owners, Officers, Directors & Executives, ( <b>OODEP Form</b> ).	- List of Owners, Officers, Directors & Executives, ( <b>OODEP Form</b> ).	- List of Owners, Officers, Directors & Executives, ( <b>OODEP Form</b> ).
	-- In community property states, (AZ,CA,ID,LA,NV, NM,TX,WA,WI), spousal information is also required on the OODEP Form. If single, state so.	- Stock Ownership Form (Share Holders' Form).	- Most recent Proxy Statement for the annual meeting of stockholders.  - Most recent copies of <b>Schedules 13D and/or 13G</b> received from any beneficial owners (foreign or domestic)who hold 5% or more of the US organization securities.	- Stock Ownership Form (Share Holders' Form).Only if any part of the partnership has public stock.  - <b>If publicly traded:</b> Most recent copies of <b>Schedules 13D and/or 13G</b> received on any beneficial (foreign or domestic) who hold 5% or more of the US organization securities.  - <b>If publicly traded:</b> Most recent Proxy Statement for the annual meeting of stockholders.		
Org. Struct.	- State Registration Certificate/Tax ID Number.	- Articles of Incorporation (with amendments).		- Partnership Agreement,	- Certificate of Organization.	- University Charter (Similar to Articles of Incorporation).
		- By-laws (attested copy with amendments).			- Operating Agreement.	- Charter or similar documents to company's by-laws.
Govt. Plan	- Latest Financial Report, <b>or</b> a copy of the 1040 for the previous year (including Schedule C).	- Latest consolidated Annual Report or Audited Financial Information, including notes, for the most recently closed accounting year. (If audit report is not available, entity must certify to the unavailability of audited information).	- Latest consolidated Annual Report and securities and exchange commission <b>Form 10-K</b> report for the most recently-closed accounting year.  - If Company stock is not publicly traded, but the Co. has publicly traded debt, submit <b>Form 10-K</b> as above.	- <b>If publicly traded</b> , submit latest annual report and <b>Form 10-K</b> for the most recently closed accounting year.  - <b>Not publicly traded</b> Latest consolidated Annual Report or Audited Financial Information, including notes, for the most recently closed accounting year. (If audit report is not available, entity must certify to the unavailability of audited information).	- Latest Annual Report or Audited Financial Information, including notes, for the most recently closed accounting year. (If audit report not available, the entity must certify to the unavailability of audited information).	- Latest Report or Audited Financial Information, including notes, for the organization's most recently closed accounting year. (If audit report not available, the entity must certify to the unavailability of audited information).
		- Most recent Annual Stockholders and Board		<b>If required by partnership agreement:</b> The most recent Annual Stockholders and		- Most recent Annual Board meeting minutes identifying
Mtg. Minutes						

## FOCI Requirement Matrix

	meeting minutes identifying directors and officers of the Corporation and company's voting list.		Board meeting minutes identifying directors and officers and company's voting list.		directors and officers of the entity, and entity's voting list.
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**\*NOTE: FOCI determination is not required of individuals performing work under a consulting agreement. (DOE O 470.1, IV, 2a).**